

**UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION
OFFICE OF THE SECRETARY**

**QUICK REFERENCE GUIDE
FEDERAL ENERGY REGULATORY COMMISSION'S
FILING REQUIREMENTS**

(MAY 1998)

Documents to be filed with the Commission should be [electronically filed](#), hand delivered, or mailed to:

**Office of the Secretary
Room 1-A
Federal Energy Regulatory Commission
888 First Street, N.E.
Washington, D. C. 20426**

This guideline is intended for use as a quick reference, only. It does not list every filing, report, or form required by the Commission's regulations. Title 18, Parts 1 to 399 of the Code of Federal Regulations lists all current regulations of the Commission and should be considered the formal reference for all Commission filing requirements.

**For additional information contact: Office of the Secretary,
Dockets Division
(202) 208-0715**

NOTE: An Original & 14 Copies are Required for Filings Not Listed in this Chart and/or Filings That the Number of Copies is Not Specified in the Regulations - Title 18, Parts 1 to 399.

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
Various	Petitions for Declaratory Order *Note: No Fee is Required for Petitions Filed Under Part I of the Federal Power Act - Docket Prefix Nos. DI, P & UL)	§ 385.207	Original & 14 § 385.2004		\$13,910 §381.302
DI, P & UL	Petitions for Declaratory Order	§ 385.207	Original & 14 § 385.2004		No Fee Required
Various (Except filings under Part I of the FPA- Docket Prefixes DI, P & UL)	Motions to Intervene Protests Comments Answers Responses Complaints Answers to Complaints Requests for Rehearing Appeals of Staff Actions Requests for Interlocutory Appeal Motions for Reconsideration Requests for Exemption Requests for Waiver Initial Briefs Reply Briefs Pre-Trial Briefs Post Hearing Briefs Briefs on Exceptions Briefs opposing Exceptions Offers of Settlement Stipulations & Agreements Requests for Summary Disposition Statements of Position	§ 385.214 § 385.211 § 385.602 § 385.213 § 385.213 § 385.206 § 385.206 § 385.713 § 385.715 § 385.715 § 385.212 § 385.207 § 385.207 § 385.706 § 385.706 § 385.601 § 385.705 § 385.706 § 385.706 § 385.602 § 385.602 § 385.207 § 385.207	Original & 14 § 385.2004		
Various	Direct Testimony & Exhibits Rebuttal Testimony Surrebuttal Testimony Answering Testimony Counter Answering Testimony	§ 385.507 § 385.506 § 385.506 § 385.506 § 385.506	Original & 7 (ALJ Notice Issued 8/8/91)		
Various	Petitions for Review in U. S. Court of Appeals *Note: (Copy Must Have Court Filing Date Stamp) Courtesy Copies of Documents Filed with the Court Court Orders Opinions Mandates Rulings	§ 385.2012	1 copy * § 385.2012		
None	Requests for Interpretations By the General Counsel	§ 385.1901 & § 388.104	Original & 14 § 385.2004		\$ 3,990 §381.305

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
AC	Request for Approval from Office of Chief Account for: Accounting Entries Reporting Requirements Records Retention Extension of Test Periods	Various Accounting Regulations and § 375.303	Original & 7 OCA Notice issued 6/29/91		
AI	Requests for Interpretation from Office of Chief Accountant	Parts 101 & 102 General Instruction No.5 and § 375.303	Original & 7 OCA Notice issued 6/28/91		
CP	Requests for Blanket Certificate Prior Notice Filings	§ 157.201	Original & 15 § 157.205(b)	Yes § 385. 2011	
CP	Applications for Presidential Permit filed in Connection with Section 3 Import/Export Applications of Natural Gas	§153.15	Original & 9 §153.11	Yes § 385. 2011	
CP	Applications for Blanket Certificate filed by Hinshaw Company or Local Distribution Company	§ 284.224	Original & 7 § 152.2	Yes § 385. 2011	\$ 1,000 § 381.207

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
CP	Applications for: Abandonment Certificates for construction, operation or transportation Blanket Certificates	Part 157	Original & 7 § 157.6(a)	Yes § 385. 2011	
	Application under Section 7(a) for Interconnection	§ 156.1	Original & 7 § 156.3	Yes § 385. 2011	
	Import & Export Applications	§153.5	Original & 7 § 153.20	Yes § 385. 2011	
	Responses to Staff Data Requests	§ 156.5(c) § 157.14(c)	Original & 7 § 157.6(a)		
	Annual Reports Required for Certificates	§ 157.207 & § 2.55	Original & 7 § 157.6(a)	Yes § 385. 2011	
	Storage Reports: Injection/Withdrawal Cycles - Underground Storage Storage Fields and Wells	§ 157.214 & § 157.215	Original & 7 § 157.6(a)	Yes § 385. 2011	
	Construction Reports: Notice of Construction of Facilities Notice of Construction or Replacement of Facilities Requests for Waiver of 30-day Notice for Construction or Replacement of Facilities Progress Reports	§ 157.20 & § 2.55	Original & 7 § 157.6(a)	Yes § 385. 2011	
CP	Acceptance of Certificates Cost Statements of Construction Commencement of Construction Report & Follow-up Progress Report Completion of Construction Report Placement in Service Report	§ 157.20	Original & 4 § 157.20		
CP	Transportation Reports: Initial Reports Subsequent Reports Final Reports	§ 284.126	Original & 5 § 284.126(d)		
CP & GT	Tariff Filings Service Agreements and Contracts	§ 154.112	Original & 5 § 154.4	Yes *Notice diskette may be required	

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
DI	Declarations of Intent to File Hydro Applications for: Preliminary Permit License Exemption	Part 24	Original & 8 § 24.1		
DR	Application for Approval of Depreciation Rates for Financial Accounting Purposes	Section 302 of the FPA	Original & 5		
EC	Applications for: Sale or Lease of Facilities Merger or Consolidation of Facilities Purchase of Securities of Public Utility	Part 33	Original & 5 § 33.6	Yes * Notice diskette § 33.2(1)	
EF	Electric Rates for Federal Power Marketing Administrations	Part 300	Original & 4 (Commission Policy)	Yes * Notice diskette § 300.10	
EG	Applications for Exemption for Wholesale Generator Determination	Part 365	Original & 14 § 385.2004	Yes * Notice diskette § 365.3	\$ 1,560 § 381.801
EL	Miscellaneous Formal Filings Related to Electric Power Complaints Petitions for Declaratory Order Jurisdiction Questions Enforcement Staff Actions	Various Parts	Original & 14 or Original & 8	Yes * Notice diskette required on rate filings	
EM	Emergency Transactions on Sale, Transportation or Exchange of Natural Gas Emergency Replacements of Pipeline Facilities Termination Report	Part 284 Subpart I	Original § 284.270 Original & 2 § 284.270		
ER	Electric Rate Filings Amendments to Rate Filings Notices of Cancellation Refund Reports Compliance Filings Responses to Data Request/Deferral Blanket Authorization Requests	§ 35.1 through § 35.29	Original & 5 § 35.7	Yes * Notice diskette § 35.8	
ES	Applications for Issuance of Securities or Assumption of Liabilities for: Commercial Paper Common & Preferred Stock First Mortgage Bonds Employee Option Plans	Part 34	Original & 4 § 34.7	Yes * Notice diskette § 34.3(k)	

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
FA	Financial Audit Filings	Part 41	Original & 6 § 41.3		
HB	Headwater Benefits Filings	§ 11.16	Original & 8 4.32(b)(1)		
ID	Applications to Hold Interlocking Positions Informational Reports Supplemental Applications Notices of Change: Notices of Retirement Notices of Death Notices of Termination Notices of Resignation	§ 45.1 § 45.5(c) § 45.4 § 45.5(b)	Original & 3 § 45.7		
IR	Requests for Waiver of the PUPRA Regulations	§ 292.402	Original & 14 § 385.2004		
IS	Oil Pipeline Tariffs Including: Fourth Section Applications Special Permission Applications Amendments to Tariffs Supplements to Tariffs Protests and Responses to Oil Pipeline Tariffs	§ 341. 1 § 341.15 § 341.14 § 341.4(a) § 341.4(b) § 343.3	Original & 3 § 341.2 Original & 14 § 385.2004		
MG	Statements of Marketing Affiliated Companies (Gas)	§ 161.3 & § 250.16	Original & 14 § 385.2004		
NJ	Non-Jurisdictional Petitions for Declaratory Order/Ruling Petition for Waiver of Filing Fee	§ 35.28(e) § 385.207	Original & 14 § 385.2004		
OA	Open Access Transmission Filing	§ 35.28	Original & 5 § 35.7	Yes *Notice diskette § 35.8	
OR	Complaints and Petitions against Oil Pipelines	§ 343.4	Original & 14 § 385.2004		

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
P	Applications for: Preliminary Permit License Exemption from Licensing Surrender of Preliminary Permit Surrender of Exemption Amendments to Applications Applications for Amendment of License Surrender or Termination of License Transfer of License Compliance with License Articles Conveyance Reports Six-Month Progress Reports Motions to Intervene Answers Responses Requests for rehearing or appeal	Parts 4, 6, 9 & 16	Original & 8 §§ 4.32(b)		
P	Applications for Exemption of Annual Charges	§ 11.6	Original & 3 § 11.6(I)		
P	Acceptances of License Acceptances of Transfer of License Safety Inspection Reports	§ 9.3 Part 12 Subpart D	Original & 3 § 9.3 (b) Original & 3 § 12.37(a)		
P	Aperture Cards	§ 4.39	Original & 1 § 4.39(a)		
PR	Petitions for Rate Approval for Gas Transportation Service	§ 284.123	Original & 5 § 284.123(b)(2)(I) & § 284.126(d)		\$ 6,920 § 381.403
QF	Applications for Certification of Qualifying Small Power Production Facility Applications for Recertification of Qualifying Small Power Production Facility	§ 292.207(b)	Original & 14 § 385.2004	Yes * Notice Diskette §292.207 (b)(4)(ii)	\$11,960 § 381.305
QF	Applications for Certification of Qualifying Cogeneration Facilities Applications for Recertification of Qualifying Cogeneration Facility	§ 292.207(b)	Original & 14 § 385.2004	Yes * Notice Diskette §292.207 (b)(4)(ii)	\$13,540 § 381.305
QF	Notices of Self-Certification of Qualifying Small Power Production Facility Notices of Self-Certification of Qualifying Cogeneration Facility Notices of Change of Ownership of Qualifying Facility Notices of Change in Qualifying Facility Notices of Self-Recertifications of Qualifying Facility	§ 292.207(a)	Original & 14 § 385.2004		

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
RA	Reviews of DOE Adjustment Request Denials	Part 385 Subpart J	Original & 7 Established Policy		Up to \$ 10,640 § 381.204
RO	Reviews of DOE Remedial Orders	Part 385 Subpart I	Original & 7 Established Policy		Up to \$20,300 § 381.303
RP	Major Gas Tariff Filing	Part 154	Original & 12 § 154.4(a)	Yes *Notice diskette §154.209 *Tariff §154.4(a)	
RP, GT MT, TA, TM, TQ	Tariff Filings Compliance Filings Motions under Section 4(e) with Tariff Sheets Refund Reports	Part 154	Original & 5 § 154.4(a)	Yes *Notice diskette §154.209 *Tariff §154.4(a)	
RP, TA, TM, TQ	Motions under Section 4(e) without Tariff Sheets	§ 154.206	Original & 2 Section 4(e)		
SC	Petitions for Declaratory Order on Stranded Cost Recovery (Electric) Complaint Request for Waiver of filing fee	§ 35.26 & § 385.207 § 385.206 § 381.108	Original & 14 § 385.2004 Original & 14 § 385.2004 Original & 2 § 381.108(b)	Yes *Notice diskette § 35.8(a)	
TX	Applications for Transmission Service (Electric)	§ 36.1	Original & 14 § 385.2004	Yes * Notice diskette §36.1(b)	
	R E P O R T S				
None or RM85-1	Capacity Reports	§ 284.12	Original & 1		
None	Discount Rate Reports	§ 284.7(c)(6)	Original & 5	Yes § 284(c) (6)(D-iii)	
None	Annual Stockholders Reports	Required by Annual Form No. 2	4 copies (Instructions to Form No. 2)		

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
None	List of 20 Largest Customers of Electric Energy	46.3	Original & 2 46.3(a)		
None	Index of Customers (Gas)	§ 284.106(c) § 284.223(b)	No Paper Copies	Yes § 284. 106(c)	
	F E R C F O R M S				
Form 1	Annual Report for Major Public Utilities, Licensees, and Others	§ 141.1	Original & 6 (Instructions to Form)	Yes § 385. 2011	
Form 1-F	Annual Report for Non-Major Public Utilities and Licensees	§ 141.2	Original & 2 (Instructions to Form)		
Form 2	Annual Report for Gas Pipeline Companies (Major)	§ 260.1	Original & 4 (Instructions to Form)	Yes § 385. 2011	
Form 2-A	Annual Report for Gas Pipeline Companies (Non-Major)	§ 260.2	Original & 2 (Instructions to Form)	Yes § 385. 2011	
Form 6	Annual Report of Oil Pipelines	§ 357.2	Original & 3 (Instructions to Form)		
Form 11	Monthly Gas Reports	§ 260.3	Original & 2 (Instructions to Form)	Yes § 385. 2011	
Form 80	Hydroelectric Recreation Development Reports	§ 8.11 & § 141.61	Original & 3 § 8.11(a)		
Form 423	Monthly Report of Cost & Quality of Fuels for Electric Plants *Filed with Office of Electric Power Regulation	§ 141.61	Original & 3 (Instructions to Form)		
Form 561	Annual Reports on Interlocking Positions	§ 46.4 & § 131.31	Original & 2 § 46.6(d)(1)		
Format No. 567	System Flow Diagrams & System Capacity - Gas Pipeline Certificates	§ 260.8	Original & 4 § 260.8(a)		
Form 580	Interrogatories on Fuel and Energy Purchase Practices	Docket No. IN79-6 Order issued 4/26/79 FERC ¶ 61,090	3 Copies (General Instructions)	Yes § 385. 2011	

Docket No. Prefix	Type of Filing	Applicable Filing Regulation	No. of Copies & Copy Regulation	Electronic Format Required	Filing Fee & Fee Regulation
Report- ing Req. No. 582	Annual Charges Report	§ 382.201	Original & 6		
Form 714	Electric Control & Planning Area Report *Filed with Office of Electric Power Regulation	§ 141.51	Original & 3 § 141.51(c)	Yes (Form In- struction)	
Form 715	Annual Transmission Planning & Evaluation Report *Filed with Office of Electric Power Regulation	§ 141.300	Original & 2 (Instructions to Form)	Yes (Form In- struction)	